

FORM EIA-860A
ANNUAL ELECTRIC GENERATOR REPORT – UTILITY
JANUARY 1, 1999

GENERAL INFORMATION

I. PURPOSE

Form EIA-860A collects information for the Energy Information Administration (EIA) on the status of existing electric generating plants and associated equipment and those scheduled for initial commercial operation within 5 years of the filing of this report, in the United States.

The data from this form are used to accurately maintain the list of all electric power plants and their associated generators operated by electric utilities, and to provide input for various EIA models and EIA publications including the *Inventory of Power Plants in the United States*.

II. WHO MUST SUBMIT

Each electric utility as defined in "Definitions," which accompanies these instructions, that operates or plans to operate a power plant within 5 years of the year of this form must report the information requested on Form EIA-860A to the EIA. The operator (or planned operator) of jointly owned plants should be the only respondent for those plants. **Your utility has the option either to submit this completed form to the EIA or to designate an agent or agents (e.g., regional electric reliability council, North American Electric Reliability Council (NERC), or other groups) to submit this information to the EIA on its behalf. Each respondent is encouraged to designate its regional electric reliability council(s) as its agent(s) to report to the EIA on the respondent's behalf. The designated agent(s) must specify the electric utility for which it is submitting information. The respondent (electric utility) has the ultimate responsibility for submitting all these data or any data not submitted on its behalf by its designated agent(s).**

III. WHAT AND WHERE TO SUBMIT

Respondents who choose to submit their completed form directly to the EIA should return the completed original Form EIA-860A in the enclosed envelope, or in an envelope addressed to:

U. S. Department of Energy
Energy Information Administration, EI-53
Mail Stop: BG-076 (Form EIA-860A)
1000 Independence Avenue, SW
Washington, D. C. 20077-5651

Retain a completed copy of this form for your files.

Respondents who designate their regional electric reliability council(s) to file on their behalf must submit Form EIA-860A data to their regional council(s) in the format prescribed by their regional council(s).

Respondents who designate an agent or agents to file on their behalf should only return the completed authorization sheet (attached to the end of the survey form) to the EIA in the enclosed envelope or in an envelope using the mailing address above.

The completed authorization sheet should include the name(s) of the designated agent(s), name(s) of contact person(s) at the designated agent(s), their corresponding telephone number(s), the name of the respondent (electric utility) official authorizing the agent(s) to file, the official's title, telephone number, signature, and the date the form is signed.

IV. WHEN TO SUBMIT

Submit the completed Form EIA-860A directly to the EIA annually on or before February 15. **Respondents who designate an agent or agents to file on their behalf should complete the enclosed authorization form and submit it directly to the EIA on or before January 15 of the reporting calendar year;** the submittal date of the completed Form EIA-860A by these respondents is determined by the agent(s) and takes precedence provided that date is prior to February 15 of the reporting calendar year. If needed, the agent may contact the EIA in order to be granted a later submittal date.

V. FURTHER INFORMATION

Direct questions concerning Form EIA-860A to Ms. Elsie Bess at (202)426-1142 or E-mail, elsie.bess@eia.doe.gov.

VI. SANCTIONS AND CONFIDENTIALITY STATEMENTS

The timely submission of Form EIA-860A by those required to report is mandatory under Section 13(b) of the Federal Energy Administration Act of 1974 (FEAA) (Public Law 93-275), as amended. Failure to respond may result in a civil penalty of not more than \$2,500 for each violation, or a fine of not more than \$5,000 for each willful violation. The government may bring a civil action to prohibit reporting violations which may result in a temporary restraining order or a preliminary or permanent injunction without bond. In such civil action, the court may also issue mandatory injunctions commanding any person to comply with these reporting requirements.

VII. PROVISIONS REGARDING CONFIDENTIALITY OF INFORMATION

The Office of Legal Counsel of the Department of Justice concluded on March 20, 1991, that the Federal Energy Administrative Act requires the Energy Information Administration to provide company-specific data to the Department

of Justice, or to any other Federal agency when requested for official use, which may include enforcement of Federal law. The information contained on this form may also be made available, upon request, to another component of the Department of Energy (DOE); to any Committee of Congress, the General Accounting Office, or other Congressional agencies authorized by law to receive such information. A court of competent jurisdiction may obtain this information in response to an order.

The information contained on this form related to Heat Rate for Existing Generators (Schedule III), Power Plant Site Information for Plants Planned for Initial Commercial Operation within 5 Years (Schedule II), and Generator Information for Generators Planned for Initial Commercial Operation within 5 Years (Schedule III) will be kept confidential and not disclosed to the public to the extent that it satisfies the criteria for exemption under the Freedom of Information Act (FOIA), 5 U.S.C. 552, the DOE regulations, 10 C.F.R. 1004.11, implementing the FOIA, and the Trade Secrets Act, 18, U.S.C., 1905.

Upon receipt of a request for this information under the FOIA, the DOE shall make a final determination whether the information is exempt from disclosure in accordance with the procedures and criteria provided in the regulations. To assist us in this determination, respondents should demonstrate to the DOE that, for example, their information contains trade secrets or commercial or financial information whose release would be likely to cause substantial harm to their company's competitive positions. A letter accompanying the submission that explains (on an element-by-element basis) the reasons why the information would be likely to cause the respondent substantial competitive harm if released to the public would aid in this determination. A new justification does not need to be provided each time information is submitted on the form, if the company has previously submitted a justification for that information and the justification has not changed.

The data reported on the Form EIA-860A not specifically stated in this section as confidential are not considered to be confidential.

GENERAL INSTRUCTIONS

1. Verify all preprinted information; if incorrect, draw a line through the incorrect entry and provide the correct information. Allow the original entry to remain readable. **See more specific instructions for correcting data in Schedule II, "Power Plant Site Information" and Schedule III, "Generator Information."** Provide any missing information.
2. Check all data for consistency if the same or related data appear in more than one schedule of this or other forms or reports submitted to EIA. Explain any inconsistencies under "Notes."
3. For planned power plants or generators, use planning data to complete the form.
4. Report in whole numbers (i.e., no decimal points), except where explicitly instructed to report otherwise.
5. Use a parentheses sign for reporting negative numbers.
6. Furnish information for the electric utility as it existed at the beginning of the reporting calendar year (January 1).
7. Report date information as a two-digit month and four-digit year, e.g., "03/1980."
8. Furnish the requested information to reflect the status of your current or planned operations as of the beginning of the reporting calendar year. If the utility no longer operates a specific power plant, place an asterisk (*) before the power plant's name in Schedule II, and report the current operator under "Notes." Do not complete the form for that power plant.

SPECIFIC INSTRUCTIONS

SCHEDULE I -- IDENTIFICATION AND CERTIFICATION

Respondents who designate their regional council to file on their behalf should submit changes to Schedule I by telephone, fax, or e-mail using the instructions on the first page of the form.

1. **EIA Utility Code and Name:** Verify the utility name which is relevant to this information. Utility code will be entered by the EIA.
2. **Respondent Mailing Address:** Verify the name and address to which this form should be mailed. Include an attention line, room number, building designation, etc., to facilitate the future handling and processing of this form (EIA-860A).
3. **Contact person:** Verify the name, title, voice and fax telephone numbers, including area code and e-mail address, of the individual to be contacted concerning the information provided on this form.
4. **Certifying Official:** Enter the name and title of the certifying official, and the date the certifying official signs the form.

SCHEDULE II - POWER PLANT SITE INFORMATION

Part 1. Verify or complete one section for each existing power plant and for each power plant planned for initial commercial operation within 5 years. **To report a new plant or a plant that is not identified on the preprinted form, use a separate (blank) section of Schedule II. If additional blank schedules are needed, call the HELP CENTER as instructed on the first page of the form.**

- a. **Plant Name:** Enter the name of the power plant. Enter "NA 1," "NA 2," etc., for planned facilities that have no name(s). Each power plant must be uniquely identified. The type of plant does not need to be a part of the plant name, e.g., "Plant x Hydro" needs to be reported as "Plant x" only. There may be more than one prime mover type associated with a single plant

name (single site). The type of plant is recognized by the prime mover code(s) reported in Schedule III.

- b. **County Name:** Enter the county in which the plant is (will be) located. Enter "NA" for planned facilities that have not been sited. If a mobile power plant, indicate this with a "Y" at the bottom of the page and report all data based on its current location.
- c. **State:** Enter the two-letter U.S. Postal Service abbreviation for the State in which the plant is located. Enter "NA" for planned facilities for which the State has not been determined. If the State is "NA," the county name must be "NA."
- d. **Plant Zip Code:** Enter the zip code of the plant. Provide, at a minimum, the five-digit zip code; however, the nine-digit code is preferred.
- e. **Name of Water Source:** Enter the name of the principal source from which cooling water for thermal-electric plants and water for generating power for hydroelectric plants is directly obtained. If more than one water source is (will be) used, enter the name(s) of the other sources of water under "Notes." Enter "municipality" if the water is from a municipality. Enter "wells" if water is from wells. Enter "NA" for planned facilities for which the water source is not known.
- f. **Cogeneration:** If the power plant produces steam or hot water for nonutility use, enter "Y," otherwise enter "N" to indicate that it has no cogeneration function.

SCHEDULE III -- GENERATOR INFORMATION

- Part 1.** Verify or complete for each existing or proposed new generator. Complete a section for each generator as determined by the following: (1) is in commercial operation (whether active or inactive) or (2) is expected to be in commercial operation within 5 years and is either planned or under construction. Do not report auxiliary or house

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generators. Multiple generators operated together (i.e., cross-compound) should be reported with one generator ID. Generators with a nameplate capacity less than 5,000 kilowatts may be grouped by like prime mover and energy source (regardless of plant) provided that the aggregate nameplate capacity of any group does not exceed 100,000 kilowatts. If grouped, complete a section for each group, reporting the prime mover, energy source(s), aggregate nameplate capacity, and aggregate summer and winter capabilities.

Under "Notes," indicate the number of generators included in each group of generators. **To report a new generator, use a separate (blank) section of Schedule III. To report a new generator that has replaced one that is no longer in service, update the status of the generator that has been replaced along with other related information (e.g., retirement date.) Then use a separate (blank) section of Schedule III to report all of the applicable data about the new generator. Each generator must be uniquely identified within a plant. The EIA cannot use the same generator ID for the new generator that was used for the generator that was replaced. If additional blank schedules are needed, call the HELP CENTER as instructed on the first page of the form.**

- a. **Plant Name:** Enter the name of the power plant as reported on Schedule II.
- b. **Generator ID:** Enter the generator identification commonly used by plant management. These should be a maximum of four characters and the same identification as reported on other EIA forms. Each generator should be uniquely defined within a plant.
- c. **Prime Mover:** Enter one of the following prime mover codes:
For existing combined cycle units, a prime mover should be reported for each generator.

AB	Atmospheric Fluidized Bed Combustion
CA	Combined Cycle Steam Turbine With Supplemental Firing
CC	Combined Cycle-Total Unit (Use only for such units that are in planning stage for which specific generator details cannot yet be provided.)
CE	Compressed Air Energy Storage
CH	Steam Turbine, Common Header

CS	Combined Cycle - Single Shaft (gas turbine and steam turbine share a single generator)
CT	Combined Cycle Combustion Turbine Portion
CW	Combined Cycle Steam Turbine - Waste Heat Boiler Only
FC	Fuel Cell (electrochemical)
GE	Steam Turbine (geothermal)
GT	Combustion (gas) Turbine
HL	Hydraulic Turbine (pipeline)
HY	Hydraulic Turbine (conventional)
IC	Internal Combustion (diesel, piston)
IG	Integrated Coal Gasification Combined Cycle
JE	Jet Engine
NB	Steam Turbine - Boiling Water Nuclear Reactor
NG	Steam Turbine - Graphite Nuclear Reactor
NH	Steam Turbine - High-Temperature Gas-Cooled Nuclear Reactor
NP	Steam Turbine - Pressurized Water Nuclear Reactor
OC	Ocean Thermal Turbin
PB	Pressurized Fluidized Bed Combustion
PS	Hydraulic Turbine-Reversible (pumped storage)
PV	Photovoltaic
SS	Steam Turbine - Solar
ST	Steam Turbine - Boiler
VR	Various Types (Use for reporting data for several generators of different types (prime movers)
WT	Wind Turbine
OT	Other (describe under "Notes")
NA	Unknown at this time

- d. **Unit Code (Multi-generator Code):** Identify all generators that are operated with other generators as a single unit. Generators operating as a single unit should have the same four-character unit (multi-generator) code. These generators should have a single heat rate and (aggregate) capability reported. The four-character unit code is entered by EIA. If generators do not operate as a single unit, this space should be left blank.
- e. **Ownership:** Identify the ownership for each generator using the following codes:

U	Utility-owned, single ownership by respondent
J	Jointly owned with another utility and/or nonutility, or wholly owned by utility other than respondent

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Part 2. Verify or complete for each existing generator.

- a. **Maximum Generator Nameplate Capacity:** Enter the maximum nameplate capacity of the generator in kilowatts. If the nameplate capacity is expressed in kilovoltamperes, convert to kilowatts by multiplying the power factor by the kilovoltamperes. If more than one capacity appears on the nameplate, report the highest capacity.
- b. **Status Code:** Enter the status of the generator as of the beginning of the reporting calendar year using one of the following codes:
- OP Operating, available to operate, or on short-term scheduled or forced outage (less than three months).
- OS On long-term scheduled (maintenance) or forced outage; not available to operate (greater than three months).
- SB Cold Standby (Reserve): deactivated (mothballed), in long-term storage and cannot be made available for service in a short period of time, usually requires three to six months to reactivate.
- RE Retired (no longer in service and not expected to be returned to service).
- SD Sold to nonutility (specify name of nonutility under "Notes").
- c. **Commercial Operation Date:** Enter the month and year that control of generator was turned over to the dispatcher, e.g., "02/1974."
- d. **Retirement Date:** Enter the date (month/year, e.g., "12/1995") the generator was retired.
- e. **Heat Rate (Btu/kWh):** Enter the tested heat rate under full load conditions for all generators that derive their energy from combustion or fission of fuel. Report the heat rate as the fuel consumed in British thermal units (Btu's) necessary to generate one net kilowatthour of electric power. Report the heat rate based on the primary energy source. Report the tested heat rate under full load, not the actual heat rate which is the quotient of total Btu's consumed and total net generation. If generators are tested as a unit (not tested individually), report the same test result for each generator. For generators that are out of service for an extended period or on standby, report the heat rate based on the unit's latest test.

- f. **Energy Sources:** Using the following codes, enter up to two energy sources used, in order of their predominance of use, where predominance is based on the quantity of Btu's consumed. Include energy source(s) that the generator was capable of using, although the energy source(s) may not have been used for electricity generation during the last 12 months. For generators that are out of service for an extended period or on standby, report the energy sources based on the generator's latest operating experience.

ANT Anthracite	BFG Blast-Furnace Gas
BIO* Biomass (Generic)	COG Coke-oven Gas
BIT Bituminous Coal	COM Coal-Oil Mixture
COL* Coal (Generic)	CWM Coal-Water Mixture
CRU Crude Oil	FO2 No. 2 Fuel Oil
FO1 No. 1 Fuel Oil	FO5 No. 5 Fuel Oil
FO4 No. 4 Fuel Oil	GAS* Gas (Generic)
FO6 No. 6 Fuel Oil	JF Jet Fuel
GST Geothermal Steam	LIG Lignite
KER Kerosene	LNG Liquefied Natural Gas
LPG Liquefied Propane Gas	MF Multifueled (2 or more fuels burned simultaneously not as a mixture)
MTE Methane	PC Petroleum Coke
MTH Methanol	PL Plutonium
NG Natural Gas	REF Refuse, Bagasse, or Other Nonwood Waste
ORM Orimulsion	SNG Synthetic Natural Gas
PET* Petroleum (Generic)	STM Steam
PRO Propane	SUN Solar
RG Refinery Gas	TOP Topped Crude Oil
RRO Re-Refined Motor Oil (Coal Gasification)	WAT Water
SUB Subbituminous Coal	WD Wood and Wood Waste
TH Thorium	WND Wind
UR Uranium	OT Other (describe under "Notes")
WC Waste Coal (Culm)	NA Not Available
WH Waste Heat	
ZZ Fuel brought to the plant site that is converted before the combustion process, such as for a coal gasification system.	

*These energy sources are valid only for planned generators.

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- g. **Mode of Transportation:** Enter in order the principal method of transportation of fuel to the plant that corresponds to the energy sources that you reported.

CV	Conveyer	TK	Truck
PL	Pipeline	WA	Water
RR	Railroad	UN	Unknown at this time

- h. **Net Capability (kW):** Enter the generator's (unit's) summer and winter net capabilities for the primary energy source. For generators that are out of service for an extended period or on standby, report the capabilities based on the generator's latest operating experience.

Part 3. Verify or complete this section for each generator as determined by the following: each proposed new generator that is scheduled to start commercial operation within the next five years; each existing generator that is proposed to undergo modification(s), scheduled for retirement, or scheduled for reactivation within the next five years; and each generator (proposed new or existing) for which a change in ownership is proposed within the next five years. A section should be verified or completed for each proposed change to a single generator that is expected to be effective during the five-year period.

- a. **Maximum Generator Nameplate Capacity (kW):** Enter the nameplate capacity of the new generator or the nameplate capacity that the existing generator is expected to have when the change becomes effective.
- b. **Status Code:** Enter one of the following status codes:

FC	Existing generator planned for conversion to another fuel or energy source.
RP	Proposed for life extension or repowering.
A	Proposed generator capability increase (rerating or relicensing).
D	Proposed generator capability decrease (rerating or relicensing).
M	Generator to be put in deactivated shutdown status.
RA	Previously retired or deactivated generator planned for reactivation.
RT	Existing generator scheduled for retirement.
CO	Proposed change of ownership (including change of shares of jointly-owned units).
IP	Planned new generator canceled, indefinitely postponed, or no longer in resource plan.

TS	Construction complete, but not yet in commercial operation (including lower power testing of nuclear units).
P	Planned for installation but not utility authorized. Not under construction.
L	Regulatory approval pending. Not under construction (started site preparation).
T	Regulatory approval received but not under construction.
U	Under construction, less than or equal to 50 percent complete (based on construction time to first electric date).
V	Under construction, more than 50 percent complete (based on construction time to first electric date).
OT	Other (describe under "Notes").

- c. **Effective Date:** Enter the date (month/year, e.g., "12/1995") that the generator was originally scheduled and the date the generator is currently scheduled to start operation after construction, modification, or reactivation, the date the change of ownership is effective, the date the utility plans to put the generator in deactivated shutdown status, the date the generator is planned for reactivation, or the date the utility plans to retire the generator, as applicable.
- d. **Energy Sources:** If the Status Code is "FC," or "RP," enter the energy sources expected to be used after fuel conversion, life extension, or repowering, respectively. If the Status Code is "P," "L," "T," "U," "V," "TS," or "RA," enter in order the primary energy sources the generator is expected to use based on the quantity of Btu's to be consumed. Use the codes provided under **"Energy Sources," Schedule III, Part 2f.**
- e. **Mode of Transportation:** Enter in order the principal method of transportation of fuel to the plant that corresponds to the energy sources that you reported. Use the codes for mode of transportation of fuel provided under **"Mode of Transportation," Schedule III, Part 2g.**
- f. **New Prime Mover:** For existing generators with a status code of "RP" enter the prime mover code that is applicable once the modification is complete if it will be different from the current prime mover (e.g., converting steam generator (ST) to combined cycle, waste heat only (CW)). Use the codes for prime mover provided under **"Prime Mover," Schedule III, Part 1c.**
- g. **Net Capability:** Enter the summer and winter capabilities as specified below:

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If Status Code: Then Enter:

- TS, P, L, T, U, V . The capabilities expected to be realized when the generator starts commercial operation.
- FC The incremental capabilities expected to be realized from the conversion to the new energy sources.
- A, D, RP The incremental capabilities expected be realized from the modification to the equipment.
- RA The capabilities expected to be realized once the previously retired generator is reactivated.
- M,RT The decrease (negative value) in capability for the generator being deactivated or retired.

**SCHEDULE IV -- OWNERSHIP OF GENERATORS
OWNED JOINTLY OR BY OTHERS**

Complete Schedule IV for existing and planned generators that are, or will be, jointly owned; or any generators that the respondent operates, but that are 100 percent owned by another entity. Only the current or planned operator of jointly owned generators should complete this schedule.

Specify the prime mover of the generator, using the codes provided under **"Prime Mover," Schedule III, Part 1c.**

Enter the first nine owners, in order of owner's percentage of ownership of each jointly owned generator. If a generator has more than nine owners, report the balance of owners as "Other Owners". Enter percent ownership to 2 decimal places, i.e., 12½ percent as "12.50". If a generator is 100 percent owned by an entity other than the operator utility, then enter the percentage ownership as "100.00."

DEFINITIONS

1. Combined Cycle Unit - An electric generating unit that consists of one or more combustion turbines and one or more boilers with a portion of the required energy input to the boiler(s) provided by the exhaust gas of the combustion turbine(s).
2. Electric Utility - A corporation, person, agency, authority or other legal entity or instrumentality that owns and/or operates facilities within the United States, its territories, or Puerto Rico for the generation, transmission, distribution, or sale of electric energy primarily for use by the public and files forms listed in the Code of Federal Regulations, Title 18, Part 141. Facilities that qualify as cogenerators or small power producers under the Public Utility Regulatory Policies Act (PURPA) are not considered electric utilities.
3. Generating Unit - Any combination of physically connected generators, reactors, combustors, turbines, and other prime movers operated together to produce electric power.
4. Life Extension - Restoration or refurbishment of a plant to its original performance without the installation of new combustion technologies. Life extension results in 10 to 20 years of plant life beyond the anticipated retirement date, but usually does not result in larger capacity.
5. Generator Nameplate Capacity - The full-load continuous rating of a generator, prime mover, or other electric power production equipment under specific conditions as designated by the manufacturer. Installed generator nameplate rating is usually indicated on a nameplate physically attached to the generator.
6. Net Capability - The maximum load-carrying ability of the equipment, exclusive of station use, under specified conditions for a given time interval, independent of the characteristics of the load. (Capability is determined by design characteristics, physical conditions, adequacy of prime mover, energy supply, and operating limitations such as cooling and circulating water supply and temperature, headwater and tailwater elevations, and electrical use.
7. Net Winter Capability - The steady hourly output which generating equipment is expected to supply to system load (exclusive of auxiliary power) as demonstrated by test at the time of winter peak demand.
8. Net Summer Capability - The steady hourly output which generating equipment is expected to supply to system load (exclusive of auxiliary power) as demonstrated by test at the time of summer peak demand.
9. Nonutility Power Producer - A corporation, person, agency, authority, or other legal entity or instrumentality that owns electric generating capacity and is not an electric utility. Nonutility power producers include qualifying cogenerators, qualifying small power producers, and other nonutility generators (including independent power producers) without a designated franchised service area, and which do not file forms listed in the Code of Federal Regulations, Title 18, Part 141. See definition of electric utility.
10. Reporting Year - The year as of January 1 in which the report is due to be filed. For example, data as of January 1, 1999, are due to be filed February 15, 1999.
11. Repowering - Refurbishment of a plant by replacement of the combustion technology with a new combustion technology, usually resulting in better performance and greater capacity.

**Annual Electric Generator Report
as of January 1, 1999**

Utility Code:
Utility Name:

The timely submission of Form EIA-860A to the Energy Information Administration or your designated agent is mandatory under the Federal Energy Administration Act of 1997 (Public Law 93-275). The Energy Information Administration reserves the right to make direct contact with any respondent to the Form EIA-860A (including those who file through their designated agent), regarding the timeliness and accuracy of the information reported.

The respondent authorizes the agent designated below to submit on its behalf Form EIA-860A, "Annual Electric Generator Report-Utility," to the U.S. Department of Energy.

Agent

Name_____

Contact Person_____

Address_____

Telephone_____

**Respondent
Authorizing Official**

Name_____

Title_____

Telephone_____

Signature_____

Date_____